

Patent Application  
 U.S. Application No.: 10/022,438  
 Attorney Docket No.: 52493.000230

### AMENDMENTS TO THE SPECIFICATION:

Please amend the sentence on Page 4, lines 27-28 with the following:

Figure 4 is a schematic representation of the server station of Figure 3 ~~2~~ according to an embodiment of the invention.

Please amend the table on Page 11, lines 21-27 with the following:

<u>Occurrence Index:</u>	<u>0</u>	<u>1</u>	<u>2</u>	<u>3</u>
Total # of agents and/or employees	N/A	<10,001	10,000-100,001	>100,001
# of policies in force	N/A	<50,0[[.]]00	50,0[[.]]00-2M	>2M
# of policies issued in past 12 months	N/A	<50,000	50,000-200,000	>200,000

Please delete the formula on Page 14, line 28:

$$\text{Detection} = \frac{1(1) + 2(2) + 4(2) + 5(1)}{(2)(3)} = \frac{15}{6} = 2.5$$

Please add the following formula on Page 14, line 28:

$$\text{Detection} = \frac{1(1) + 2(3) + 3(1) + 5(1)}{(2)(3)} = \frac{15}{6} = 2.5$$

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Please delete the formula on Page 15, line 2:

$$\text{Detection} = \frac{1(1) + 2(1) + 3(3) + 4(1)}{(2)(4)} = \frac{16}{8} = 2.0$$

Please add the following formula on Page 15, line 2:

$$\text{Detection} = \frac{1(3) + 2(1) + 3(3) + 4(1)}{(2)(4)} = \frac{18}{8} = 2.25$$

Please amend Page 15, lines 16-20 with the following:

Based on the above indices, a total risk score can then be determined for each of the categories, as follows:

$$\text{Product Design Risk Score} = (2.5)(2.0)(2.0)(3.0) = 10.0 \quad \underline{15.0}$$

$$\text{e-business Risk Score} = (3)(3)(1)(2) = 18.0$$

$$\text{State Product Filings} = (2)(2.25)(2)(1) = 4.0 \quad \underline{4.5}$$

Please amend the sentence on Page 16, lines 6-32 with the following:

Client stations 310 may include, for instance, a personal or laptop computer running a Microsoft Windows<sup>TM</sup> 95 operating system, a Windows<sup>TM</sup> 98 operating system, a Millenium<sup>TM</sup> operating system, a Windows NT<sup>TM</sup> operating system, a Windows<sup>TM</sup> 2000 operating system, a Windows XP<sup>TM</sup> operating system, a Windows CE<sup>TM</sup> operating system, a PalmOS<sup>TM</sup> operating system, a Unix<sup>TM</sup> operating system, a Linux<sup>TM</sup> operating system, a Solaris<sup>TM</sup> operating system, an OS/2<sup>TM</sup> operating system, a BeOS<sup>TM</sup> operating system, a MacOS<sup>TM</sup> operating system, a VAX VMS operating system, or other operating system or platform. Client stations 310 may include a microprocessor such as an Intel x86-based or Advanced Micro Devices x86-compatible

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device, a Motorola 68K or PowerPC™ device, a MIPS device, Hewlett-Packard Precision™ device, or a Digital Equipment Corp. Alpha™ RISC processor, a microcontroller or other general or special purpose device operating under programmed control. Client stations 310 may further include an electronic memory such as a random access memory (RAM ) or electronically programmable read only memory (EPROM), a storage such as a hard drive, a CDROM or a rewritable CDROM or another magnetic, optical or other media, and other associated components connected over an electronic bus, as will be appreciated by persons skilled in the art. Client stations 310 may be equipped with an integral or connectable cathode ray tube (CRT), a liquid crystal display (LCD), electroluminescent display, a light emitting diode (LED) or another display screen, panel or device for viewing and manipulating files, data and other resources, for instance using a graphical user interface (GUI) or a command line interface (CLI). Client stations 310 may also include a network-enabled appliance such as a WebTV™ unit, a radio-enabled Palm™ Pilot or similar unit, a set-top box, a networkable game-playing console such as a Sony™ Playstation™, Sega™ Dreamcast™ or a Microsoft™ Xbox™, a browser-equipped or other network-enabled cellular telephone, or another TCP/IP client or other device.

Please amend the sentence on Page 19, line 25 - page 20, line 18 with the following:

Information stored in the database 340 may be input and administered by a representative of the compliance office, for example, via an administration interface 350. Information entered by the representative may, in one example, correspond to the specific questions that will be presented to the various departments or units relating to compliance matters involving various business areas or categories. In addition, the representative may input the various indices and formulas relevant to the prioritization process of the invention. For instance, the representative may input the corresponding occurrence and severity risk indices that may be used to weigh the responses of the individual departments or units. The representative may, for example, input the parameters of the possible answers to the questions presented, such as, "0" for N/A, "1" for Yes, no further work is needed, "2" for Yes, some improvement is needed to get to the level the

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compliance office wants, "3" for No, almost to yes, "4" for No, sometimes, and "5" No, seldom or never. Other levels or distinctions are contemplated and possible. Likewise, the representative of the compliance office may input the different levels associated with the occurrence index, as well as the formula and levels used in determining or calculating the appropriate detection indices. For example, the representative may input, in relation to the occurrence index, that "0" corresponds to N/A, "1" to <10,001 employees (or policies), "2" to 10,000-100,001 employees (or policies), "3" to > 100,001 employees (or policies), etc. Further, the representative may also use administration ~~module 250~~ module 350 to input identification information of the individual departments or units, such as, for example, the IP address corresponding to each department, or username and password information. The identification information may be used by the compliance office to personalize the survey or series of questions based on the identity of the receiving department or unit. Other information may be entered. In all instances, the inputted information may be stored and updated, as necessary.

Please amend the sentence on Page 21, lines 1-21 with the following:

The server station ~~30~~ station 330 may also include a query module 410 for entering, organizing and editing the questions to be presented to the various departments or units. By way of example, a representative of the compliance office may access query module 410, via interface 350, and specifically draft and revise the questions to be presented to the departments or units as part of the survey. Further, the representative may use query module 410 to categorize or associate individual questions with one or more business areas or categories. For instance, certain questions may be presented in connection with the product design category of the Product Development area, while others may be presented in connection with all categories of Product Development. Query module 410 may thus be used to correlate the individual questions with corresponding business areas and categories. Similarly, query module 410 may also be used to co-relate questions with individual departments or units. Specifically, query module 410 may be used by the compliance office to designate which questions, business areas, or categories should be presented to which departments or units. Query module 410 may also be

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used to automatically identify the department or unit based, in one embodiment, on the user's IP address. In another embodiment, the query module 410 determines the user's identity based on log-in information provided by the user, such as the user's username and password, and accesses information stored in the ~~database 40~~database 340 relating to the identified user. In either case, the information stored in the ~~database 40~~database 340 may be used to personalize the survey or series of questions presented.

Please amend the sentences on Page 22, lines 1-15 with the following:

Server 330 may also include a prioritization module 420 that serves to prioritize or rank the business areas or categories based on the severity risk of non-compliance. In one embodiment, severity risk is determined by the responses provided by the departments or units to the questions presented, and by a severity risk index that, in one embodiment, may be selected by the compliance office. In another embodiment, the prioritization module determines or calculates a detection index that, as discussed above, is based on the responses of the departments or units, the number of questions, and the number of participating departments or units. In another embodiment, prioritization module 420 may be used to select an occurrence index indicating the potential consequences of non-compliance. In yet another embodiment, the prioritization module may also be used to calculate a total risk score for each category for which questions were presented. For example, prioritization module 420 may be used to calculate the product of the detection, occurrence, and severity risk indices. In one embodiment, the occurrence and severity risk indices are selected by the compliance office for each category. The information needed for this calculation may be obtained by prioritization module 420 by accessing database 340.